



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/996,462	11/28/2001	Desmond R. Lim	MIT9066	2424

7590 11/04/2003
Samuels, Gauthier & Stevens LLP
Suite 3300
225 Franklin Street
Boston, MA 02110

EXAMINER

LIN, TINA M

ART UNIT	PAPER NUMBER
----------	--------------

2874

DATE MAILED: 11/04/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/996,462

Applicant(s)

LIM ET AL.

Examiner

Tina M Lin

Art Unit

2874

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 08 October 2003.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-34 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-34 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 23 April 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ 6) ☐ Other: _____

This Office action is responsive to applicant's communication filed on 08 October 2003.
Corrections of the informalities are noted by the Examiner.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-6, 9-11, 18-22 and 29-32 are rejected under 35 U.S.C. 103(a) as being unpatentable over an article in Journal of Lightwave Technology, Volume 17 No. 9 titled High-Density Integrated Optics to Manolatos et al. In regards to claims 1-6, Manolatos et al. discloses an optical cavity with an input port and an output port that interconnects polySi waveguides with an interconnecting structure that is a five-sided polygon with straight edges that are orthogonal and finite in width. Manolatos et al. additionally discloses the interconnecting structure to reflect the input signals at a 45 degree angle, to interconnect the first and second waveguides at 90 degrees and the fifth side of the polygon structure to be aligned at an angle of 135 degrees from both of its respective sides. In regards to claims 9-11 and 18-22, Manolatos et al. discloses an optical splitting device as a T-shaped or Y-shaped with an input port which received an input polySi wavelength that is split into at least two signals and directed to at least two output polySi waveguides. The splitting structure also includes at least two separate cavities connected to their sides where each cavity includes five straight edges that are orthogonal, however put together is

a seven-sided polygon. Furthermore, Manolatos et al. discloses the seven sided polygon cavity to have two sides that are aligned at angles of 135 degrees and 270 degrees with their respective adjacent sides. In regards to claims 29-32, Manolatos et al. discloses an optical resonator with a plurality of straight polySi waveguides and a plurality of interconnecting elements, where the interconnecting elements are five-sided polygons that have orthogonal edges and a finite width. Additionally, Manolatos et al. discloses the fifth side of the polygon to be aligned at an angle 135 degrees from both of its respective sides. But in regards to claims 1, 9 and 29, Manolatos et al. fails to specifically disclose a three-dimensional interconnecting structure with a finite thickness. However, in the introduction of the article in column 2, Manolatos et al. discloses in the article, only two-dimensional geometries are discussed for ease in computation. Furthermore, a three dimensional cavity would have a finite height, finite width and finite thickness. Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to have altered the two-dimensional cavity to a three dimensional cavity with a finite thickness.

Claims 7, 12, 14-17, 23, 25-28 and 33 are rejected under 35 U.S.C. 103(a) as being unpatentable over an article in Journal of Lightwave Technology, Volume 17 No. 9 titled High-Density Integrated Optics to Manolatos et al. as applied to claims 1, 9 and 29 above, and further in view of an article in Optoelectron, Volume 143 No. 5 titled Development of a Library of Low-Loss silicon-on-insulator optoelectronic devices to Tang et al. Manolatos et al. discloses all discussed above, but Manolatos et al. fails to disclose the input and output waveguides to be SOI (silicon-on-insulator) waveguides having a silicon core, a cladding of silica and a top cladding layer of air. Manolatos et al. also fails to disclose the polySi waveguides disclosed to have a

silicon core, a cladding layer of silica and a top layer cladding of air. However, Tang et al. does disclose SOI waveguide technology to be used in waveguides, couplers, junctions and modulators. SOI is just a different type of waveguide as the polySi disclosed by Manolatos et al. so, therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to have used either a polySi waveguide or a SOI waveguide in an optical cavity structure, optical resonator or an optical splitter. Additionally, it is disclosed by Tang et al. and also well known in the art that a commonly used waveguide core material is silicon, a commonly used waveguide cladding layer materials are air and silica. Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to have used a waveguide having a silicon core, a cladding of silica and a top cladding layer of air.

Claims 8, 13, 24 and 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over an article in Journal of Lightwave Technology, Volume 17 No. 9 titled High-Density Integrated Optics to Manolatos et al. as applied to claims 1, 9 and 29 above, and further in view of U.S. Patent 5,949,931 to Kitamura. Manolatos et al. discloses all discussed above, but Manolatos et al. fails to mention an interconnecting structure being etched using anisotropic etching. However, Kitamura discloses an optical coupler, also used to interconnect fibers, to be etched by method of anisotropic etching. Therefore, it would have been obvious at the time the invention was made to a person having ordinary skill in the art to have an interconnecting structure being etched using anisotropic etching.

Applicant's arguments filed 08 October 2003 have been fully considered but they are not persuasive. Applicant argues Manolatos fails to disclose a three-dimensional interconnecting structure with a finite thickness. The Examiner disagrees. In the introduction of the article in

column 2, Manolatos et al. discloses in the article, only two-dimensional geometries are discussed for ease in computation. However, this does not limit the geometry to simply a two-dimensional interconnecting structure. Furthermore, every two-dimensional structure has a thickness. Although the thickness may be negligible, the two-dimensional structure will still have a thickness.

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tina M Lin whose telephone number is (703) 305-1959. The examiner can normally be reached on Monday-Friday 8:30-5:30.

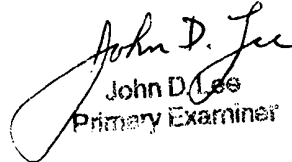
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Rodney Bovernick can be reached on (703) 308-4819. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Application/Control Number: 09/996,462
Art Unit: 2874

Page 6

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-0956.


TML


John D. Lee
Primary Examiner